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UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

## READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM **Initial Listing Report** Part I 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ BX, Inc. (traded pursuant to unlisted trading privileges) 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): **Open End Management Investment Company** Class of New Derivative Securities Product: **Exchange Traded Fund** 4. Name of Underlying Instrument: 17003027 **Actively Managed Portfolio of Securities** 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Not Applicable 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

Listed on: CME Group, NASDAQ Stock Market LLC, NYSE

Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled)

9. Position Limits of New Derivative Securities Product (if applicable):

**Execution** Part II

> The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

Colleen	Steele	

Title: Assistant Corporate Secretary	Act Securities Exchange Act of 1934
Telephone Number: 301-978-8736	Section 19b-4 Rule 19b-4(e)
Manual Signature of Official Responsible for Form	Public Availability: JUN 1 4 2017
Date: June 08, 2017	